

#3

## FORMALITIES LETTER

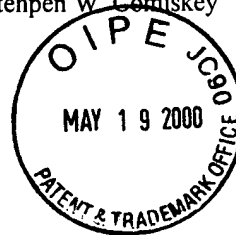


\*OC000000005107327\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/520,763	03/08/2000	Stephen W. Comiskey	53326.000008

Thomas J Scott Jr  
Hunton & Williams  
1900 K Street N W Suite 1200  
Washington, DC 20006-1109



Date Mailed: 05/10/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

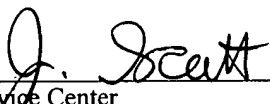
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/22/2000 15:21:04 09520763 130.00 DP  
01 FC:105

Attorney Docket No. 53326.000008

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Patent Application of :**

Stephen W. Comiskey, et al.

Serial No.: 09/520,763

Filed: March 8, 2000

For: **System and Method For Providing Financial Services to High Net Worth Individuals**

Group Art Unit: 1356

**Examiner: To Be Assigned**

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

Attention: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Responsive to the attached U.S. Patent and Trademark Office “Notice to File Missing Parts of Nonprovisional Application” mailed May 10 , 2000, Applicants are submitting herewith an executed Declaration for filing in the cited patent application, along with the required fee for late filing of the Declaration. Accordingly, it is respectfully requested that a filing date of March 8, 2000 be granted to this application.

Attorney Docket No. 53326.000008  
Application Serial No. 09/520,763

A check in the amount of \$130.00 is enclosed for the fee for filing the Late Declaration.

In the event any variance exists between the amount enclosed and the PTO charges, please  
charge or credit any difference to Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS

By:

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Dated: May 19, 2000